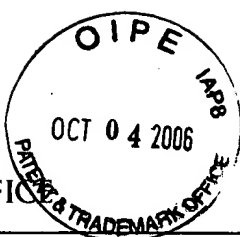




UNITED STATES
PATENT AND
TRADEMARK OFFICE



MARCH 20, 2002

PTAS

Chief Information Officer
Washington, DC 20231
www.uspto.gov

GRAY CARY WARE & FREIDENRICH LLP
LISA A. HAILE
4365 EXECUTIVE DRIVE
SUITE 1100
SAN DIEGO, CA 92121-2133



101957155A

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 01/14/2002

REEL/FRAME: 012496/0925

NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

GRIFFIN, JOHN H.

DOC DATE: 09/11/2001

ASSIGNEE:

SCRIPPS RESEARCH INSTITUTE, THE
10550 NORTH TORREY PINES ROAD
LA JOLLA, CALIFORNIA 92037

SERIAL NUMBER: 09777484

FILING DATE: 02/05/2001

PATENT NUMBER:

ISSUE DATE:

PAULA MCCRAY, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS



101957155

To the Honorable Commissioner for Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of Conveying party(ies):

John H. Griffin

Additional name(s) of conveying party(ies)
attached? ☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of name
☐ Other

Execution Date: September 11, 2001

2. Name and address of receiving Party(ies)

Name: The Scripps Research Institute

Internal Address: _____

Street Address: 10550 North Torrey Pines RoadCity: La Jolla State: CA Zip: 92037Additional name(s) & address(es) attached?
☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s)

09/777,484

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Lisa A. Haile, J.D., Ph.D.GRAY CARY WARE & FREIDENRICH LLPStreet Address: 4365 Executive Drive, Suite 1100City: San Diego State: CA Zip: 92121-21336. Total number of Applications and patents involved: 1

7. Total fee (37 CFR 3.41)

\$ 40.00☒ Enclosed (Check No.: 494727)
☒ Authorized to charge any underpayment or credits
to Deposit Account No.: 50-1355

DO NOT USE THIS SPACE

9. Statement and signature:

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*Lisa A. Haile, J.D., Ph.D.

Name of Person Signing

Registration No.: 38,347

Signature

November 20, 2001

Date

Total number of pages including cover sheet, attachments, and document: 4

ASSIGNMENT
(BY INVENTOR(S))

This assignment ("Assignment") is made by John H. Griffin, of Del Mar, California, ("Assignor") to THE SCRIPPS RESEARCH INSTITUTE, a California corporation ("Assignee"), having a place of business at 10550 North Torrey Pines Road, La Jolla, California 92037.

Recitals

A. Each of the Assignors has invented a new and useful invention entitled NEUROPROTECTIVE, ANTITHROMBOTIC AND ANTI-INFLAMMATORY USES OF ACTIVATED PROTEIN C (APC), for which an application for United States Letters Patent was filed on February 5, 2001 in the United States Patent and Trademark Office.

B. Each of the Assignors authorizes and requests insertion of the application serial number of the application when officially known:

The United States Application No.: 09/777,484; (Docket No. SCRI1200-1).

C. Each of the Assignors believes the Assignors to be the original, first and joint inventors of the invention disclosed and/or claimed in the application for Letters Patent.

D. The parties desire to have a recordable instrument assigning from the Assignors to the Assignee the entire rights, title and interest in and to the invention, the application and all Letters Patent in the United States and throughout the world that may be granted or issued for the invention or that derive a right of priority from the application (including, without limitation, all divisional, continuation, continuation-in-part and continued prosecution applications thereof, and all reissues and reexaminations thereof, and all foreign counterparts thereof) (collectively, the "Invention Patents").

Agreement

NOW, THEREFORE, in accordance with the obligations to assign the Invention Patents and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, each of the Assignors agrees to the foregoing and as follows:

1. Each of the Assignors does and will sell, assign and transfer to Assignee, such Assignor's entire rights, title, and interest in and to each of the Invention Patents, including, without limitation, the rights to file foreign applications directly in the name of the Assignee and to claim for any such foreign applications any priority rights to which such applications are entitled under international conventions, treaties, or otherwise.

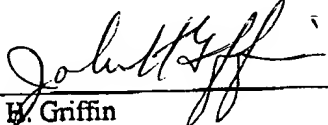
2. Each of the Assignors agrees that, upon request and without further compensation, but at no expense to such Assignor, such Assignor and such Assignor's legal representatives and assigns will do all lawful acts, including the execution of papers and the giving of testimony, that may be necessary or desirable for obtaining, sustaining, reissuing, or enforcing each of the Invention Patents in the United States and throughout the world, and for perfecting, recording, or maintaining the title of Assignee, and Assignee's successors and assigns, in and to each of the Invention Patents in the United States and throughout the world. In the event that Assignee is unable for any reason to secure any of the Assignors' signatures to any document that may be necessary or desirable for obtaining, sustaining, reissuing, or enforcing each of the Invention Patents in the United States and throughout the world, or for perfecting, recording, or maintaining the title of Assignee, and Assignee's successors and assigns, in and to each of the Invention Patents in the United States and throughout the world, each such Assignor hereby irrevocably designates and appoints Assignee and Assignee's duly authorized officers and agents as such Assignor's agents and attorneys-in-fact to act for and on such Assignor's behalf and instead of such Assignor to execute such document, all with the same legal force and effect as if executed by such Assignor.

3. Each of the Assignors represents and warrants that such Assignor has not granted and will not grant to others either (1) any rights, title or interest in and to any of the Invention Patents, or (2) any rights inconsistent with the rights granted herein.

4. Each of the Assignors authorizes and requests the Assistant Commissioner for Patents of the United States and the various counterparts thereof throughout the world to issue and/or grant any Letters Patent granted for each of the Invention Patents to Assignee, its successors and assigns, as the assignee of the entire interest in such Invention Patents.

5. This Assignment constitutes the entire agreement with respect to its subject matter and supersedes all prior or contemporaneous oral or written agreements concerning such subject matter. No waiver, amendment, or modification of this Assignment shall be effective against the Assignee, unless in writing executed by a duly authorized representative of the Assignee. This Assignment shall be governed in all respects by the laws of the United States of America and by the laws of the state/province of California, as such laws are applied to agreements entered into and to be performed entirely within California between California residents. Each of the parties irrevocably consents to the exclusive personal jurisdiction of the federal and state courts located in California, as applicable, for any matter arising out of or relating to this Assignment, except that in any action seeking to enforce any order or any judgment of such federal or state courts located in California, such personal jurisdiction shall be nonexclusive. A breach of any of the promises or agreements contained herein will result in irreparable and continuing damage to Assignee for which there will be no adequate remedy at law, and Assignee shall be entitled to injunctive relief and/or a decree of specific performance, and such other relief as may be proper.

Dated: Sept 11, 2001



John H. Griffin



MARCH 16, 2002

PTAS

Chief Information Officer
Washington, DC 20231
www.uspto.gov

GRAY CARY WARE & FREIDENRICH LLP
LISA A. HAILE, J.D., PH.D.
4365 EXECUTIVE DRIVE
SUITE 1100
SAN DIEGO, CA 92121-2133



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UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

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RECORDATION DATE: 01/14/2002

REEL/FRAME: 012484/0623

NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

ZLOKOVIC, BERISLAV Y.

DOC DATE: 02/08/2001

ASSIGNEE:

UNIVERSITY OF SOUTHERN CALIFORNIA,
THE
3716 SOUTH HOPE STREET
LOS ANGELES, CALIFORNIA 90007-4344

SERIAL NUMBER: 09777484

FILING DATE: 02/05/2001

PATENT NUMBER:

ISSUE DATE:

TONYA LEE, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

0 24-2002



HEET

Docket No.: SCRI1200-1

To the Honorable Commissioner for

101958701

attached original documents or copy thereof.

1. Name of Conveying party(ies):

Berislav Y. Zlokovic

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

2. Name and address of receiving Party(ies)

Name: The University of Southern California

Internal Address: _____

Street Address: 3716 South Hope StreetCity: Los Angeles State: CA Zip: 90007-4344

3. Nature of conveyance:

☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of name
☐ Other _____Execution Date: **February 8, 2001**

Additional name(s) & address(es) attached?

☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s)

09/777,484

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Lisa A. Haile, J.D., Ph.D.
GRAY CARY WARE & FREIDENRICH LLPStreet Address: 4365 Executive Drive, Suite 1100City: San Diego State: CA Zip: 92121-21336. Total number of Applications and patents involved: 17. Total fee (37 CFR 3.41) \$ 40.00☒ Enclosed (Check No.: 494728)
☒ Authorized to charge any underpayment or credits to Deposit Account No.: 50-1355

DO NOT USE THIS SPACE

9. Statement and signature:

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*Lisa A. Haile, J.D., Ph.D.

Name of Person Signing

Registration No.: 38,347

Signature

November 20, 2001

Date

Total number of pages including cover sheet, attachments, and document: 4

01/24/2002 TDIAT1 00000053 09777484

01 FC:581

40.00 GP

ASSIGNMENT
(BY INVENTOR(S))

This assignment ("Assignment") is made by Berislav Y. Zlokovic, of Rochester, New York, ("Assignor") to UNIVERSITY OF SOUTHERN CALIFORNIA, a non-profit organization ("Assignee"), having a place of business at 3716 South Hope Street, Los Angeles, California 90007-4344.

Recitals

A. Each of the Assignors has invented a new and useful invention entitled NEUROPROTECTIVE, ANTITHROMBOTIC AND ANTI-INFLAMMATORY USES OF ACTIVATED PROTEIN C (APC), for which an application for United States Letters Patent was filed on February 5, 2001 in the United States Patent and Trademark Office.

B. Each of the Assignors authorizes and requests insertion of the application serial number of the application when officially known:

The United States Application No.: _____; (Docket No. SCRI1200-1).

C. Each of the Assignors believes the Assignors to be the original, first and joint inventors of the invention disclosed and/or claimed in the application for Letters Patent.

D. The parties desire to have a recordable instrument assigning from the Assignors to the Assignee the entire rights, title and interest in and to the invention, the application and all Letters Patent in the United States and throughout the world that may be granted or issued for the invention or that derive a right of priority from the application (including, without limitation, all divisional, continuation, continuation-in-part and continued prosecution applications thereof, and all reissues and reexaminations thereof, and all foreign counterparts thereof) (collectively, the "Invention Patents").

Agreement

NOW, THEREFORE, in accordance with the obligations to assign the Invention Patents and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, each of the Assignors agrees to the foregoing and as follows:

1. Each of the Assignors does and will sell, assign and transfer to Assignee, such Assignor's entire rights, title, and interest in and to each of the Invention Patents, including, without limitation, the rights to file foreign applications directly in the name of the Assignee and to claim for any such foreign applications any priority rights to which such applications are entitled under international conventions, treaties, or otherwise.

2. Each of the Assignors agrees that, upon request and without further compensation, but at no expense to such Assignor, such Assignor and such Assignor's legal representatives and assigns will do all lawful acts, including the execution of papers and the giving of testimony, that may be necessary or desirable for obtaining, sustaining, reissuing, or enforcing each of the Invention Patents in the United States and throughout the world, and for perfecting, recording, or maintaining the title of Assignee, and Assignee's successors and assigns, in and to each of the Invention Patents in the United States and throughout the world. In the event that Assignee is unable for any reason to secure any of the Assignors' signatures to any document that may be necessary or desirable for obtaining, sustaining, reissuing, or enforcing each of the Invention Patents in the United States and throughout the world, or for perfecting, recording, or maintaining the title of Assignee, and Assignee's successors and assigns, in and to each of the Invention Patents in the United States and throughout the world, each such Assignor hereby irrevocably designates and appoints Assignee and Assignee's duly authorized officers and agents as such Assignor's agents and attorneys-in-fact to act for and on such Assignor's behalf and instead of such Assignor to execute such document, all with the same legal force and effect as if executed by such Assignor.

3. Each of the Assignors represents and warrants that such Assignor has not granted and will not grant to others either (1) any rights, title or interest in and to any of the Invention Patents, or (2) any rights inconsistent with the rights granted herein.

4. Each of the Assignors authorizes and requests the Assistant Commissioner for Patents of the United States and the various counterparts thereof throughout the world to issue and/or grant any Letters Patent granted for each of the Invention Patents to Assignee, its successors and assigns, as the assignee of the entire interest in such Invention Patents.

5. This Assignment constitutes the entire agreement with respect to its subject matter and supersedes all prior or contemporaneous oral or written agreements concerning such subject matter. No waiver, amendment, or modification of this Assignment shall be effective against the Assignee, unless in writing executed by a duly authorized representative of the Assignee. This Assignment shall be governed in all respects by the laws of the United States of America and by the laws of the state/province of California, as such laws are applied to agreements entered into and to be performed entirely within California between California residents. Each of the parties irrevocably consents to the exclusive personal jurisdiction of the federal and state courts located in California, as applicable, for any matter arising out of or relating to this Assignment, except that in any action seeking to enforce any order or any judgment of such federal or state courts located in California, such personal jurisdiction shall be nonexclusive. A breach of any of the promises or agreements contained herein will result in irreparable and continuing damage to Assignee for which there will be no adequate remedy at law, and Assignee shall be entitled to injunctive relief and/or a decree of specific performance, and such other relief as may be proper.

Dated: _____

2/8/01



Berislav Y. Zlokovic